

Building Partnerships Handbook:**Page:**

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"...a process of collaborative teamwork to achieve measurable results through agreements and productive working relationships."

What is Partnering?

Partnering is defined as "a process of collaborative teamwork to achieve measurable results through agreements and productive working relationships."

Background

In the 1990s, Partnering in ADOT matured in the area of construction. All state DOT construction project teams held partnering workshops to launch the process of building the Partnership and improving teamwork. The intent was, and still is, to serve the public by delivering projects on time, with the expected quality and within budget. The team identifies the goals of the various stakeholder groups and develops plans that result in fair/fair outcomes for all stakeholder groups. Partnering services have expanded to non-construction teams (e.g. divisions, work units & teams), as well as to ADOT partners.

Why Partner?

- Jointly solve problems
- Increase work efficiency
- Improve Project Development and Delivery Process
- Maximize program delivery
- Provide services that exceed customer expectations
- Develop innovative products
- Build and strengthen relationships
- Enhance work processes, plans and functions

What Partnering Is:

- Process of building an attitude of goodwill and trust
- Fair-fair attitude
- Each party understanding each others' obligations
- Avenue to create cost efficiency
- Structure to keep things moving positively along
- Getting along
- Cooperative management with enthusiasm
- Going out of your way to look at issues from the other party's point of view
- A good team building tool
- Commitment by all parties to work within the parameters and guidelines established
- Shared risk
- Commitment and performance
- Commitment to communicate and cooperate
- Proactive attitude
- Synergistic performance (joint problem-solving)
- Loss of revenue to an attorney (due to claims)
- Process for relationship building
- State agency and contractor working together without being adversaries
- Commitment to open and honest relationships

What Makes Partnering Different Than Team Building?

Partnering is a formal process which includes all Partners' input, with tangible deliverables: a Partners' communication and roles matrix, a charter (mission, goals and guidelines), issue resolution agreements, an action plan, partnering evaluation program, meeting follow-up strategies and a report that includes all Partnership agreements.

Tangible Deliverables:

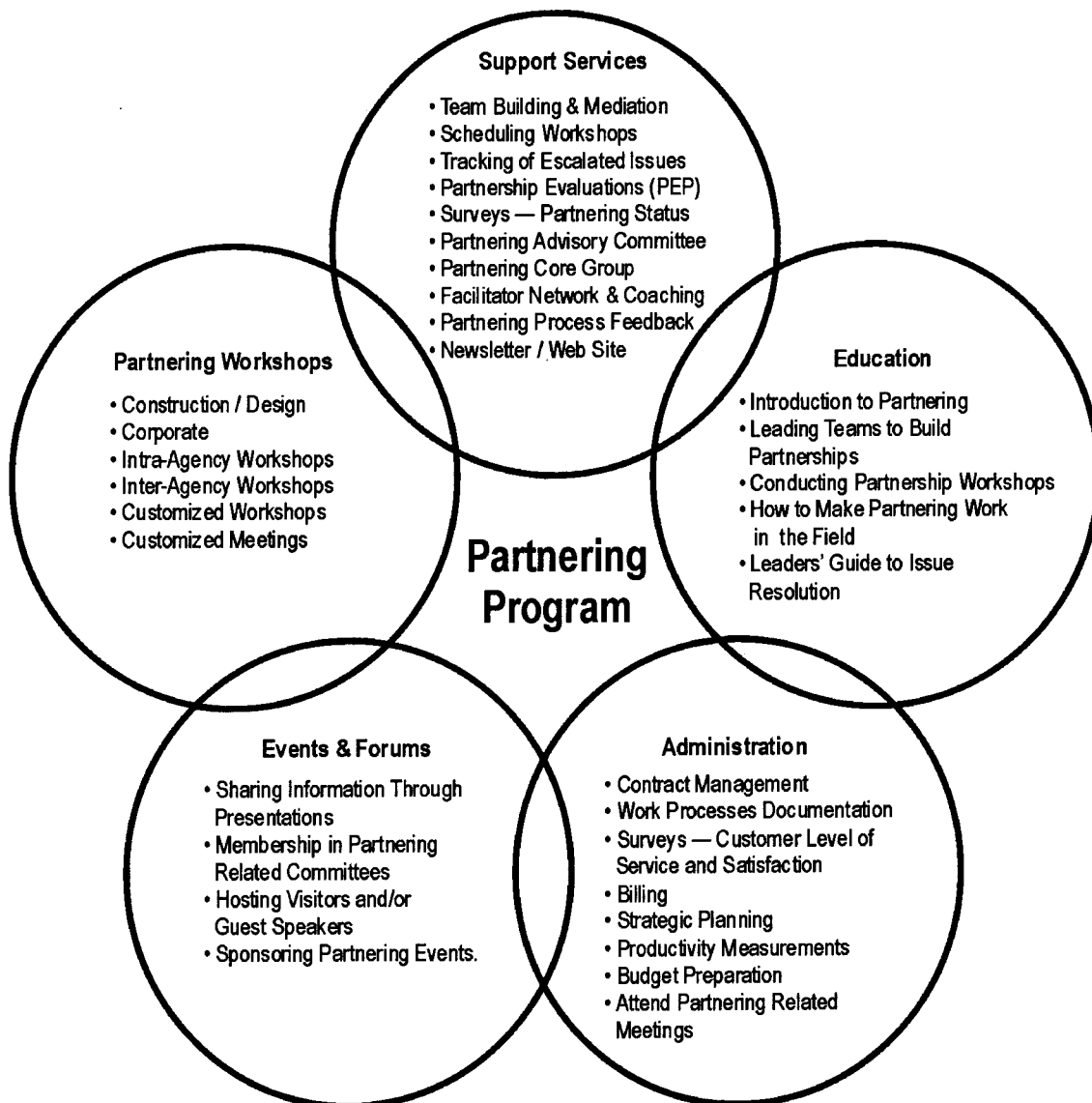
- partners communication & roles matrix
- charter (mission, goals & guidelines)
- issue resolution agreements
- an action plan
- partnering evaluation program
- meeting follow-up strategies
- report including all partnership agreements

Building the Partnership

The ADOT Partnering Program provides the foundation to build partnerships, within ADOT, and among and between ADOT and its partners.

This program is intended to be an integrated system of support services, education, administration, events and forums and partnering workshops.

Partnering Program Integrated System



Types of Partnerships

Project Partnering

- Among and between public and private entities (DOT and Contractor), governed by a Buyer-Seller contract.

Public Partnering

- Among and between DOTs, other state, local and federal agencies and non-governmental stakeholders.

Internal Partnering

- Among and between members and work units of the same organization.

Short Term Partnerships are projects that have a finite, defined ending date.

Long Term Partnerships are strategic and build a foundation for ongoing, long-term partnerships.

Why Build A Partnership?

Why Build a Project Partnership?

- Timely issue resolution resulting in decreased project delays
- Reduced labor disputes, claims and litigation
- Projects completed ahead of schedule and under budget
- Improved relationships with customers and suppliers

Why Build a Public Partnership?

- Multi-state partnerships and agreements
- Cooperation of multiple jurisdictions
- Coordinated efforts of a variety of agencies
- New funding arrangements
- Improved relations with the public

Why Build an Internal Partnership?

- Shared information and resources
- Streamlined procedures
- Eliminate duplicate systems
- Effective program expansion
- Collaborative ongoing relationships

Partnering Roles

Champion/Implementers

Partnership Champions are two team members from different key stakeholder groups who are part of the Partnership full time and identified at the Partnering Workshop. Their duties are to:

- Continuously monitor how the Partnership is doing and take corrective action if and when it goes off course.
- Approach people who will be active in the Partnership who did not attend the Partnering workshop to discuss the concepts of Partnering, the team charter, issue resolution levels and the commitment of the key Partnership team leaders to partner with them
- Ensure that those not present at the workshop sign off on the charter
- Be responsible to make sure the Partnering Evaluation Program (PEP) forms are distributed and collected
- Use PEP data to make course corrections
- Distribute the Partnering workshop meeting report to all stakeholders (includes subs and suppliers on a construction project)
- Encourage all team members to practice the Partnering Principles

make changes

Listen and make changes

based on customers' feedback

based on customers' feedback

- Ensure that the organization is prepared to function effectively in the Partnering environment
- Communicate and celebrate Partnering successes

Note: If the champion leaves the Partnership, another is chosen to carry on. Partnership problems that can't be resolved at the Operations level will be reported to the Partnership leaders.

Senior Leaders/Management Role

- Responsible for managing the structures and processes that guide the Partnerships
- Responsible to model the Partnering Principles and enforce the Partnering Agreements
- Use PEP management reports to provide opportunities for team recognition, team support and coaching

Partnering Office Roles

- Promote the use and health of the Partnering program
- Establish Facilitators' performance criteria and maintain feedback on their performance
- Strengthen customer relations with and link all Partnering stakeholders (e.g. County/State agency managers, supervisors, team members, contractors, designers, consultants, facilitators, agencies, and other Partnering stakeholders)
- Deliver responsible and responsive leadership to the Partnering effort
- Promote Partnering education and training
- Measure the health of Partnering relationships and the Partnering Program
- Listen and make changes based on customers' feedback

Promote

Promote

Establish

Establish

Strengthen

Strengthen

Deliver

Deliver

Measure

Measure

Listen

Listen

Trust	Knowing that another Partner will look out for the other Partner's best interests
Commitment	Keeping agreements
Communication	Sharing information in an open and honest way
Cooperation, Teamwork & Relationships	Partnership members working together toward common goals
Issue Resolution	Having agreements and a process in place so issues are prevented when possible, or are identified and resolved, before they harm the Partnership or the project
Measurement/Feedback	Evaluating the progress of the Partnership toward goals and learning from what works and what doesn't work
Continuous Improvement	Using the feedback to determine and make the required changes

Each stakeholder's definition of success must be considered and weighed equally.

Partnering Philosophy:

- There are many stakeholders associated with a Partnership.
- Each stakeholder's definition of success must be considered and weighed equally.
- The common goals of the Partnership members are achieved by working together.
- Creating a high trust culture allows Partnership members to come to the table with their issues knowing that they will be treated fairly.
- The role of the senior leaders, as promoters and advocates of Partnering, is essential.
- Partnering is a way State Government does business.

Education is a focus

Partnering Education

Partnering classes were co-designed and piloted by the Arizona Department of Transportation with representatives of the targeted audiences, then revised and delivered in the late 1990s. The 2000s hold great opportunity for expanding the Partnering Principles to development teams, other internal work groups and between county or state agencies and other agencies/groups. Education is a focus for the early 2000s, supporting Partnering as the way of doing business for the entire State. Partnering classes can be designed to accommodate all Partnerships.

Partnering Classes:

"Introduction to Partnering"

Objectives:

By the end of the class, participants will:

- Be able to identify the Partnering background, purpose, principles and process
- Be able to list the roles and benefits of Partnering
- Be able to identify the components of the Partnering Evaluation Program
- Complete a "Partnering Skills Readiness Checklist" and receive a list of available "Options to Enhance Your Partnering Participation"
- Be able to identify the role of the Partnering Office
- Complete a "Personal Partnering Action Plan"

"Conducting a Partnering Workshop"

Objectives:

By the end of the class, participants will:

- Be able to plan a partnering workshop
- Be able to list the components of a partnering workshop
- Practice at least 3 parts of the workshop
- Be able to organize and administer a partnering workshop
- Be able to conduct a partnering workshop

"A Leader's Guide to Issue Resolution"

Objectives:

By the end of the class, participants will:

- Identify the components of a proactive leadership approach (i.e. basic guidelines, behaviors and attitudes) toward issues identification, resolution and action planning
- Review and practice a process, with class members, for identifying and resolving issues, to include action planning and follow-up
- Provide and receive feedback on team facilitation and issue resolution skills
- Develop a personal plan of action to use this "Issue Resolution Process" with your team

"How to Make Partnering Work in the Field"

Objectives:

By the end of the class, participants will:

- Be able to identify the philosophy and basics of Partnering
- Clarify the roles and responsibilities of team members
- Identify the components of a proactive approach toward issue identification, resolution and action planning
- Review a process, with class members, for identifying and resolving issues, to include action planning and follow-up
- Develop a plan of action to use this "Issue Resolution Process" with your team
- Be able to use the Partnering Evaluation Program process forms
- Plan how to use the data generated by the Partnering Evaluation Program

"Leading Teams to Build Partnerships"

Objectives:

By the end of the class, participants will be able to:

- Identify the role of the Leader in building partnerships
- List effective leader strategies, including methods to identify and involve stakeholders
- Identify the skills of the leader
- Participate in a team setting as an active team leader, and use effective communication skills/techniques in completing group exercises and case study activities

- State the reasons for using a process improvement model and describe the basic steps in identifying areas of opportunity for improvement or enhancement

Identify the role of the
leader in building
partnerships

- Apply the quality tools (including flow chart, cause and effect diagram, and Pareto diagram) to a case scenario
- Apply the problem solving tools to participant generated organization-specific issues
- Recognize Partnering Evaluation Program as a team building tool

Clarify the roles and
responsibilities of the
team members

Partnering education can be further enhanced and supported through the development and use of a Partnering web site, brochures and special forums.

Planning requires time, sometimes many weeks, depending upon factors such as complexity and partnering experience.

Planning the Workshop

Proper planning and preparation are necessary for a successful workshop. Planning requires time, sometimes many weeks, depending upon factors such as complexity and Partnering experience. The Partnering Office, the Partnership leaders and the facilitator all play key roles in this step.

Facilitator's role in planning the workshop:

- Collect background information (e.g. history, number of jobs together, etc.)
- Speak with Partnership leaders
- Contact additional Partners at the request of the Partnering leaders
- Visit the partnership/project location with Partnership leaders, if requested
- Identify the major issues (relationship and technical)
- Customize workshop according to the input from the Partnership members, using the various approved workshop models
- Focus on the team relationship and improve problem solving and issue resolution skills
- Confirm logistics

Funding:

- Funding for building the Partnership must be secured. There is a cost associated with pre-workshop planning (meetings with facilitator), the workshop (facilitator and facilities) and follow-up activities, which include the

the production and distribution of the report. The partners commonly share the costs. For more information contact the Partnering Office (602) 712-7120.

Pre-Planning:

Conduct a Pre-workshop Planning meeting and agree upon the following:

- The key issues and partnership challenges
- Draft Charter (e.g. mission statement)
- Who should attend the workshop (e.g. agency reps, contractors, suppliers, designers, utilities, public/private organizations and other stakeholders)
- Identify the roles of key Partnership leaders
- Type of workshop, date, length, location
- Facilitator (if not already identified and in attendance at pre-workshop meeting)
- Workshop agenda
- Ways to work with Partners who cannot attend and those who are new to Partnering
- Ways to ensure management support
- Funding sources
- Lines of authority/decision-making
- Overall plan for building the Partnership
- Ways to share workshop responsibility

For more information about Partnering Workshops, contact the ADOT Partnering Website: www.dot.state.az.us/about/partner

Partnership Models

There are many customized ways to build a Partnership based on its unique factors. The complexity of the Partnership, which includes the diverse goals, the number of stakeholder groups, the degree of diversity, the number of issues, the duration, the funding and degree of politics involved, are all considered when determining the best model for each situation.

Minimal degree of complexity model

Key ingredients to build Partnerships that are minimally complex:

- Simple planning: 2-3 Partnership leaders agree upon facilitator, invitees, duration and key issues
- One workshop for all interested partners that is short in duration (e.g. 2-4 hours) and covers basic partnering components
- Final feedback/evaluation

Moderate degree of complexity model

Key ingredients to build Partnerships that are moderately complex:

- Blend of pre-workshop activity (for development, this may include scope clarification and contract negotiation)
- Full day workshop (considered a kick-off for some Partnerships)
- Spin off meetings to update new Partners or provide a focused forum for different stakeholder groups
- Weekly meetings
- Periodic check-in, evaluation and process improvement based on feedback

- Final Partnership meeting (may include close-out workshops, lessons learned and any required transitions)

High degree of complexity model

Key ingredients to build Partnerships that are highly complex:

- Series of pre-workshop planning meetings, involving key Partnership leaders, after scheduling a facilitator
- Series of Partnering workshops, to accommodate multi-tier leadership and the diverse needs of stakeholder groups
- Core Team meetings prior to other stakeholder group workshops (formally facilitated, 2-4 hours each)
- Core Team and Executive Team meeting (facilitated by Core Team or formally facilitated, 2-4 hours)
- Executive, Core and Field Team meeting (formally facilitated, 4 hours)
- Stakeholder workshops (formally facilitated, time adjusted to be appropriate for the group)
- On-going Partnership support
- Core Team weekly meetings (discuss and develop action plans based on evaluation and feedback at one weekly meeting per month)
- Core Team and Executive Team meeting, quarterly (formally facilitated, 4-6 hours)
- Periodic check-in and evaluation with Partners
- Closeout Workshop

The workshop participants should include representatives of all parties to the Partnering effort, who will focus on successful completion of the Partnership's goals.

At the Workshop

Purpose of the workshop: The Partnering workshop provides the opportunity for the Partnership members to meet, build relationships, develop the foundation for teamwork, and to prepare for the work to come. The workshop participants should include representatives of all parties to the Partnering effort, who will focus on successful completion of the Partnership's goals.

Participants will:

- Develop the Partnership
- Receive a handout which outlines the Principles of Partnering
- Write a Partnership Charter
- Review and complete components of the Issue Resolution Process
- Understand the Evaluation Process by which the team and Partnership can be measured
- Plan for follow-up strategies to continuously build the Partnership, and to monitor and celebrate progress toward Partnership goals

Partnering Workshop Guidelines:

- All perspectives are heard and considered
- Take responsibility for how you present your position
- Communicate in a way that promotes understanding and minimizes defensiveness
- Participate in a way that produces the best outcome for all

Partnering Workshop Components:

- Principles of Partnering (overview, purpose and benefits)
- Charter (a written commitment of shared mission, goals and guidelines)
- Issue Resolution Process (steps, levels, forms and process)
- Evaluation Process (evaluation purpose, goals, roles, steps and frequency)
- Action Plans (identify what needs to be completed, by whom and when)
- Follow-up Agreements (ways to keep the partnership on track, and progressing toward goals)



PARTNERING AGREEMENT



Joshua Tree Parkway

Mission: The challenge of the Joshua Tree Parkway project team is to complete this job safely, within budget, and on schedule. We commit ourselves to building a successful Partnering relationship, strengthened by honest, straightforward communication and fair dealings in every action. We set forth the following goals and objectives:

1. QUALITY

- Smooth ride — target for a smoothness measure of 22.
- Maximize bonus on material quality and compaction.
- Build a finished product that lasts (minimum maintenance needed over time).

2. COMMUNICATION

- Good public relations — minimize inconvenience to traveling public.
- Good coordination with other SR93 corridor projects.
- Timely responses to all communication needs.
- Good coordination between the field and support groups.

3. ISSUE RESOLUTION

- Timely resolution.
- No unresolved issues.
- Involve the right parties at the right time — keep them involved regarding decisions.
- Resolve at the lowest level possible.

4. TEAM WORK & RELATIONSHIPS

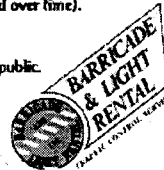
- Have fun!
- Develop friendships
- Create a relationship where we look forward to working together again.
- Build trust and continue building it over time.
- Deal fairly with one another.

5. SCHEDULE

- Best schedule
 - Commence road work in early January.
 - Begin paving the ACFC by March 15.
- Develop realistic work schedules and stick to them.
- Accommodate Gold Rush Days activities (Feb. 12-14).

6. SAFETY

- Incident free.
- Recognize that safety is everyone's responsibility.
- Maintain effective signing.
- Develop an emergency plan; maintain emergency access.
- Keep delays under 15 minutes.
- Minimize drop-offs at end of each day's paving.



Very Attentive *Erin N. Grande*

Rene R. Padilla

Chris L. Linton

Julia Brooks

Jim G. Gentry

Sgt. Robert O. Madrid

Monty R. Martin

Deputy D. Kestner

Kenneth Cole

Sample ADOT Partnering Agreement

1. Quality

Quality

2. Communication

Communication

3. Issue Resolution

Issue Resolution

4. Teamwork & Relationships

Teamwork & Relationships

5. Schedule

Schedule

Teams define what these goals mean for their particular partnership by listing subgoals for each. They are also encouraged to identify up to 5 additional partnership goals, as needed.

Additional goals for design projects sometimes include:

6. Project Delivery

Project Delivery

7. Budget

Budget

Issue Resolution Process

The Issue Resolution process consists of identifying and resolving issues, action planning, and follow-up agreements.

Identifying the levels and rules helps Partnership members set realistic time frames to resolve each issue, depending upon the impact of the issues on the Partnership. At whatever level the issue is resolved, the key Partnership members help to define and communicate the results back to the ALL team members.

Identifying the levels and rules helps Partnership members set realistic time frames to resolve each issue, depending upon the issue's impact on the Partnership.

The Issue Resolution Routing Form is an important tool to use in communicating the status of the issue and to provide feedback to the partners.

Levels & Rules

Level	Partner(s)	Time
Operations/ Team/ Partnership Member Level	_____ _____ _____	_____ _____ _____
Supervisor/ Technical/ Partnership Leader Level	_____ _____ _____	_____ _____ _____
Vice-President/ Group/ Partnership Management Level	_____ _____ _____	_____ _____ _____
Senior Management/ Director/ President Level	_____ _____ _____	_____ _____ _____

Rules:

- Issues need to be clearly defined by all parties. Deal with pertinent facts, separate the technical issues from policy issues and business issues, maintaining the original definition throughout the issue resolution process.
- Once defined, document what the issue is, give a status review for the next level to consider and utilize the appropriate form at every level.
- Either party may initiate "escalation," but acknowledgment and signatures are required by both parties. Once "escalation" is initiated, the issue should be transmitted jointly by those involved from one level to the next level, to eventual resolution.
- Once an issue is in the process, it should be resolved at the Operations level closest to the issue.
- The person that reached the resolution will assure that the resolution information is communicated in writing, including the rationale (e.g. technical, versus policy, versus business) for the resolution, to all affected parties.
- Problems are to be resolved in accordance with the issue resolution process developed in the Partnering Workshop. There should be no "leapfrogging" across the levels of the issue resolution process.

- Individuals shall make decisions that are within their expertise and comfort level. "No one has the right to screw up a partnership. If you don't feel comfortable with the decision you're being asked to make, escalate it."

Look at the issue from the other person's point of view in order to better understand his/her perspective.

Guidelines:

These guidelines promote the use of problem solving skills by everyone on the Partnership team, in their everyday work.

1. Know your Partnership intimately and be aware of unspoken conflicts.
2. Identify and clearly define issues openly and honestly. This enables the Partnership team to resolve and learn from them. Issue resolution is an essential and valuable part of good business practices.
3. Issues need to be fully defined at the Partnership leaders level (the Resident Engineer level in construction).
4. Look at what is common between the parties and what variances exist between the parties. If you can find a commonality it dissipates the negative energy. By listing the differences, you can work on solutions to the differences.

5. Address problem solving through brainstorming possible solutions first, selecting the best option ("We should not escalate so quickly.").
6. All effected parties should be involved in all significant discussions of the issue resolution.
7. Look at the issue from the other person's point of view in order to better understand his/her perspective.
8. Focus on the issues, deal in facts and avoid personality conflicts; this is not a test of wills or a "score-keeping" exercise. Avoid blame. This helps to maintain positive relationships.
9. Negotiation - Fair/Fair. Find a peaceful middle ground between parties and all parties accept a position that allows them to save dignity. "Remember the things we've done for one another." If you can't get to a fair/fair, then agree to disagree and escalate together.
10. Keep your cool when the discussion gets heated.
11. Seek advice from the more experienced personnel. This is a valuable part of the process and is encouraged (This is not an escalation, we are problem solving.).
12. Seek out issues during each weekly meeting and ask for individual input. Review the charts, graphs and comments found in the Partnering Evaluation Program (PEP). PEP reports should be reviewed monthly, at a minimum.
13. Assure that both the technical issues are resolved and their fiscal impacts are generally agreed upon at the same time.
14. When escalating an issue, honor the time pledges committed to during the Partnering Workshop.
15. Time pledges must consider the impact that the issue will have on the Partnership and then agree upon a time limit which reflects the urgency, and use the time pledges as a guideline. Issues involving lost time, public safety and monetary impact must be dealt with immediately.
16. Time pledges may be modified depending upon the issue and agreed upon among key players.
17. Know that saying "I don't know" is acceptable and should be viewed as an opportunity for learning.
18. Clearly understand the various levels of authority of other team members. Do not stop TALKING.

Know that saying "I don't know" is acceptable and should be viewed as an opportunity for learning.

Action Planning & Follow-Up

Action Plan

Partnering teams develop Action Plans which include the issue, the actions to address the issue, the responsible person(s), the timetable and status.

Meeting Format Guidelines

This communication tool is used to identify agreed upon activities before, during and after meetings.

Partnership Name: _____ Date: _____

Attendees:

Name	Company/Organization	Name	Company/Organization
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____

The following topics were discussed, noting actions taken/planned and any other relevant comments:

Topics	Actions (what, who & when)	Comments
<ul style="list-style-type: none"> • Follow-through from Previous Meetings (when applicable) • Schedule • Partnership Related Problems and Solutions • Items Due or Overdue • Partnering Action Items • Key Partners who should be advised about the Next Meeting • Partnering Evaluations (weekly, monthly or quarterly evaluations OR informal review/assessment of Partnership) • Future Issues 		

Meeting Guidelines

- Meetings should be an extension of building the Partnership
- Use pre-developed agendas
- Include advance notice of future issues as agenda items
- Use the minutes/notes of the agenda discussions, especially agreements reached at the meeting, with team assignments as a tool for following through on items requiring further action
- Advise all key Partners of the next meeting when their participation is required
- Conduct Partnering Evaluations, using informal or formal evaluations, as a meeting agenda item with a focus on Partnership effectiveness and working together

Use Agendas

Meeting Minutes

Evaluations

Workshop Feedback

Feedback from the participants, as well as from the facilitator, is critical for the success of the Partnership and for understanding the unique needs of the Partnership.

Participant's Feedback of Workshop Effectiveness

Partnership Name: _____

If applicable: Project # _____ TRACS # _____

Facilitator's Name: _____ Date of Workshop: _____

1. What is your overall rating of the effectiveness of this workshop? (Circle choice)

Workshop Format Needs Improvement			Did Not Meet My Expectations		Met My Expectations		Exceeded My Expectations
0.5	1.0	1.5	2.0	2.5	3.0	3.5	4.0

Comments:

2. What about this workshop was most valuable to you?

3. What would have improved the effectiveness of this workshop?

4. How do you rate the effectiveness of the Facilitator? (Circle choice)

Facilitation Needs Improvement			Did Not Meet My Expectations		Met My Expectations		Exceeded My Expectations
0.5	1.0	1.5	2.0	2.5	3.0	3.5	4.0

Comments:

5. How do you rate the partnership team's potential effectiveness? (Circle choice)

Partnership Team Needs Improvement			Did Not Meet My Expectations		Met My Expectations		Exceeded My Expectations	
0.5	1.0	1.5	2.0	2.5	3.0	3.5	4.0	

Comments:

6. What other comments do you wish to offer?

Name: _____

Organization: _____

Position: _____

Facilitator Feedback

The facilitator provides written feedback that answers the following:

- What level of cooperation/input did you get from the organization representatives?
- What level of cooperation/input did you get from the other Partnership leader(s)?
- How knowledgeable were the organization representatives about the Partnership issues and scope?
- How knowledgeable was/were the other Partnership leader(s) about the Partnership issues and scope?
- What was the attitude of the organization representatives during the Workshop?
- What was the attitude of the other Partnership leader(s) during the Workshop?
- What comments do you have regarding the Workshop facility?
- What other comments do you have regarding the Workshop?

Partnering Evaluation & Performance

Team assessment of goals and feedback is formalized with the development of the Partnering Evaluation Program (PEP). Team members use the feedback to take action to improve those areas that are of concern to the team and acknowledge the areas where they are succeeding.

Partnering Evaluation Program (PEP)

The Benefits of PEP are:

- All Partnership team members have the opportunity to gain an awareness of their relationships and issues.
- Communication among stakeholders is enhanced through regular and timely feedback.
- Timely and regular feedback increases the opportunities for Partnership team members to resolve the various issues at the earliest possible time and at the level closest to the Operations level.
- The automated program computes accurately and produces graphs and charts.
- The graphs and charts make good communication tools and visual aids.
- It is easy to use.

Sample PEP Rating Form

On the following page is a sample blank PEP rating form. In addition to the 5 standard goals and 5 optional evaluation goals, this form includes evaluation criteria, numbers for scoring, a place for subgoals, comments and boxes that indicate whether to "take action," stay "neutral," or "provide recognition," based on the scoring.

(See following page for sample form.)

easy
to use

PARTNERING EVALUATION PROGRAM (PEP)
PROCESS RATING FORM - CONSTRUCTION

Optional Evaluation Goals		Evaluation Criteria and Scores									
6	SUB-GOALS:	0.5	1.0	1.5	2.0	2.5	3.0	3.5	4.0	Don't Know	
		Comments:									
		<input type="checkbox"/> Take Action <input type="checkbox"/> Neutral <input type="checkbox"/> Provide Recognition									
7	SUB-GOALS:	0.5	1.0	1.5	2.0	2.5	3.0	3.5	4.0	Don't Know	
		Comments:									
		<input type="checkbox"/> Take Action <input type="checkbox"/> Neutral <input type="checkbox"/> Provide Recognition									
8	SUB-GOALS:	0.5	1.0	1.5	2.0	2.5	3.0	3.5	4.0	Don't Know	
		Comments:									
		<input type="checkbox"/> Take Action <input type="checkbox"/> Neutral <input type="checkbox"/> Provide Recognition									
9	SUB-GOALS:	0.5	1.0	1.5	2.0	2.5	3.0	3.5	4.0	Don't Know	
		Comments:									
		<input type="checkbox"/> Take Action <input type="checkbox"/> Neutral <input type="checkbox"/> Provide Recognition									
10	SUB-GOALS:	0.5	1.0	1.5	2.0	2.5	3.0	3.5	4.0	Don't Know	
		Comments:									
		<input type="checkbox"/> Take Action <input type="checkbox"/> Neutral <input type="checkbox"/> Provide Recognition									

Additional Comments:

Organization Name: _____

Your Name (Optional) _____

(14b)

Evaluator Type
 ADOT
 Contractor
 Sub-Contractor/Supplier
 Other

Sample PEP Rating Form

This PEP rating form is an example of one completed by a Partnering team. The customizing of the PEP goals is accomplished by agreeing upon subgoals. Each Partnership defines what the goals uniquely mean to them.

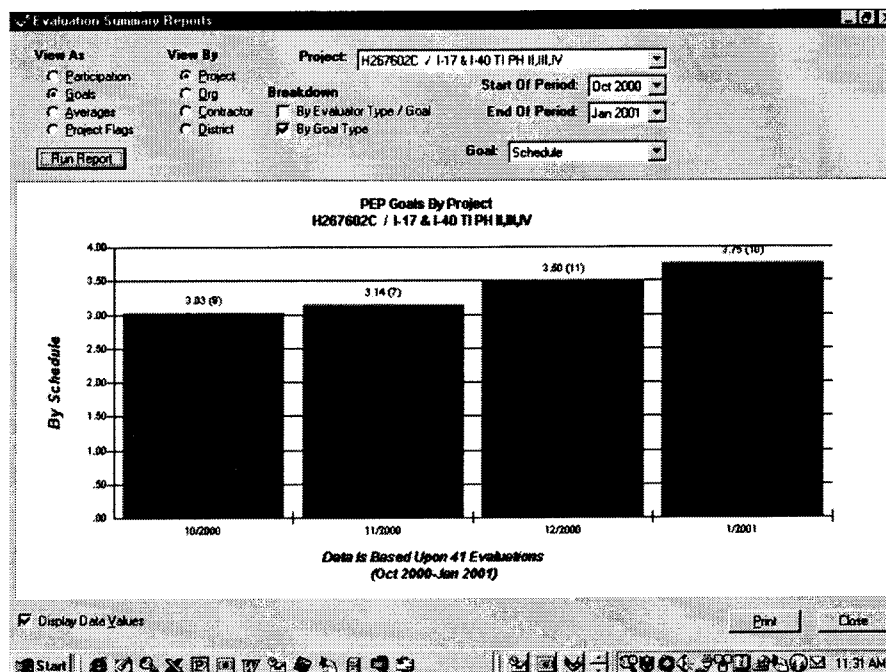
The comments provide valuable information to the team. Examine the comments to make sure corrective action has or will be taken on problems and to give recognition for positive performance. Follow up with the submitter, if known, to get additional information and to verify that any corrective action taken solved the problem.

(See following page for sample form.)

PEP Chart

This PEP chart is an example of one way to view the data from the PEP rating forms. The graphs generated from the PEP data can provide information about participation, the goals, the averages and trends, and by stakeholder groups or the Partnership as a whole, over any select period of time.

Summary Graph by Specific Partnering Goal (Schedule) for the months of October through January.



PARTNERING EVALUATION PROGRAM (PEP) PROCESS RATING FORM - CONSTRUCTION

Project Number: _____ TRACS Number: _____
 Project Description: _____
 Period Being Evaluated: _____

Standard Evaluation Goals		Evaluation Criteria and Scores									
(1) Quality The <u>process</u> to construct and document quality has: SUB-GOALS: Workmanship, Document Control Material Quality, Achieve 100% of Quality Incentives.	Significant Problems	Performed below Expectations		Met Expectations		Exceeded Expectations				Don't Know	
	0.5 1.0 1.5 2.0 2.5 3.0 3.5 4.0										
	Comments: Document Control Needs Improvement, Quality Incentives are at 65%										
	<input checked="" type="checkbox"/> Take Action <input type="checkbox"/> Neutral <input type="checkbox"/> Provide Recognition										
(2) Communication The <u>process</u> of timely, accurate information flow is: SUB-GOALS: Receive information in a timely manner Develop distribution list (return capability with email) Communicate issues to Weekly Project List	Below Levels to Support Project	At Marginally Acceptable Levels		At Expected Levels		Exceeding Expectations				Don't Know	
	0.5 1.0 1.5 2.0 2.5 3.0 3.5 4.0										
	Comments: Communications are excellent, all information is being received in a timely manner										
	<input type="checkbox"/> Take Action <input type="checkbox"/> Neutral <input checked="" type="checkbox"/> Provide Recognition										
(3) Issue Resolution Team members and their counterparts identify issues and find that the <u>process</u> of timely resolution or escalations is: SUB-GOALS: Resolve Issues at earliest opportunity. Anybody has power to escalate Follow escalation ladder. Experience no delays associated with failure to escalate. Clarify the issues before escalating.	Not Functioning	Functioning, but not fully		Established and Functioning		Exceeding Expectations				Don't Know	
	0.5 1.0 1.5 2.0 2.5 3.0 3.5 4.0										
	Comments: Issues need to be clarified before escalating, some team members need training in the escalation ladder process										
	<input type="checkbox"/> Take Action <input checked="" type="checkbox"/> Neutral <input type="checkbox"/> Provide Recognition										
(4) Team Work & Relationship Interrelationships of team members are understood and an open and coordinated effort by all members has: SUB-GOALS: Maintain cooperative and helpful attitudes. Be responsive to requests for help. Be open to new ideas & innovative solutions. Communicate when working outside of individual and organizational box.	Not Yet Achieved	Occurred in Most Cases		Met Expectations		Exceeded Expectations				Don't Know	
	0.5 1.0 1.5 2.0 2.5 3.0 3.5 4.0										
	Comments: We have good cooperation with most team members, we have open communication among team members, this job is a pleasure to work on										
	<input type="checkbox"/> Take Action <input type="checkbox"/> Neutral <input checked="" type="checkbox"/> Provide Recognition										
(5) Schedule The <u>process</u> to monitor and assure the project's completion is: SUB-GOALS: Do everything necessary: To anticipate possible delays To maintain or accelerate the schedule	Unresponsive	Marginally Successful		Meeting Expectations		Exceeding Expectations				Don't Know	
	0.5 1.0 1.5 2.0 2.5 3.0 3.5 4.0										
	Comments: Project schedule dates are being met 90% of the time										
	<input type="checkbox"/> Take Action <input type="checkbox"/> Neutral <input checked="" type="checkbox"/> Provide Recognition										

(21a)

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Optional Evaluation Goals	Evaluation Criteria and Scores									
(6) Safety The <u>process</u> to establish, educate and assure compliance with safety is: SUB-GOALS: Written safety plan, Periodic safety audits Measuring frequency, incident rate & severity Implement safety meetings, Weekly meetings Aware of safety procedures, Accident free	Non-Compliance		Meets minimum requirements but not consistently		Meets requirements		Pro-Active regarding requirements, issues, enforcement		Don't Know	
	0.5	1.0	1.5	2.0	2.5	3.0	3.5	4.0		
	Comments: Compliance with safety is excellent so far on the project									
	<input type="checkbox"/> Take Action <input type="checkbox"/> Neutral <input checked="" type="checkbox"/> Provide Recognition									
(7) Public Relations The public is kept well informed & the <u>process</u> to distribute & receive information is: SUB-GOALS: Disseminated accurate information timely Gain public support & understanding for project Minimize public inconvenience Achieve 70% rating from customer survey	Untimely & lacks clarity		Marginally clear & timely		Generally clear & meeting expectations		Clear & exceeding expectations		Don't Know	
	0.5	1.0	1.5	2.0	2.5	3.0	3.5	4.0		
	Comments: Not as many negative comments this month, however, lane closures did hinder traffic due to late pickups									
	<input type="checkbox"/> Take Action <input checked="" type="checkbox"/> Neutral <input type="checkbox"/> Provide Recognition									
(8) Traffic Management The <u>process</u> of timely, effective traffic management is: SUB-GOALS: Coordination of traffic, Strong communication Adhere to schedule Minimize delays	Recurring traffic control concerns		Traffic control concerns corrected quickly		Traffic control concerns are quickly corrected		Exceptional traffic control program		Don't Know	
	0.5	1.0	1.5	2.0	2.5	3.0	3.5	4.0		
	Comments:									
	<input type="checkbox"/> Take Action <input type="checkbox"/> Neutral <input type="checkbox"/> Provide Recognition									
(9) Design Quality The <u>process</u> to produce plans & specifications with sufficient constructable detail is: SUB-GOALS: Design plans are clear and complete Design is constructable Design meets established standards	Not fully clear		Performing below expectations		Meeting expectations		Exceeding expectations		Don't Know	
	0.5	1.0	1.5	2.0	2.5	3.0	3.5	4.0		
	Comments: Design quality is much better than I expected to see on this project, plans are clear and constructable									
	<input type="checkbox"/> Take Action <input type="checkbox"/> Neutral <input checked="" type="checkbox"/> Provide Recognition									
(10) Design Responsiveness The <u>process</u> to which design responds to clarification in the field is: SUB-GOALS: Submittals/Reviews are timely/responsive Design issues turnaround is timely/responsive	Unresponsive		Marginally successful		Meeting expectations		Exceeding expectations		Don't Know	
	0.5	1.0	1.5	2.0	2.5	3.0	3.5	4.0		
	Comments: Response time to contractor questions and design clarification exceeds expectations									
	<input type="checkbox"/> Take Action <input type="checkbox"/> Neutral <input checked="" type="checkbox"/> Provide Recognition									

Additional Comments:

The team continues to work well together, a hard 4-5 months ahead for all of us

Organization Name: **Western Electric**

Your Name (Optional): **Jim Goodman**

Evaluator Type

☐ ADOT
☐ Contractor
☒ Sub-Contractor/Supplier
☐ Other



(21b)

Partners use the Partnering Evaluation Program (PEP) rating form as a tool to assess the Partnership's progress toward goals. Partnership members may evaluate at weekly and/or monthly meetings, during team building sessions or as a team intervention, as a check-in, at key Partnership milestones or at the completion of the Partnership. The results of the Partnership evaluation provide valuable information and insight into the type of action for the Partnership to take and the experiences from which to learn and improve.

Follow-up to Help Performance:

Successful Partnerships plan and implement ways to welcome and update new Partners; discuss issues at key phases of the Partnership; provide recognition and congratulations at milestones in the Partnership; and re-focus and get back on track as needed. There are many ways to provide follow-up.

- **Refresher Workshops:** These workshops provide the long term partnership or project an opportunity to review initial agreements and make any required changes.
- **Coaching/Check-In/Ongoing:** This may take the form of conference, workshop, final report or completion of Partnering evaluation close-out forms, review quarterly report with group manager, or staff review of monthly report

- **Mediation:** This is a confidential process that utilizes a neutral 3rd party to assist disputants in collaborative problem solving. Typically, the 3rd party facilitator is bound by law to complete non-disclosure of the events and proceedings of the mediation process, and they are protected from legal discovery.
- **Weekly/Monthly meetings:** These are consistent meeting times when the Partnership members follow-up on action items from previous meetings, develop schedules and identify, resolve Partnership related issues and plan the next meeting.
- **Close-out Workshop:** Partners collect findings to reflect on the Partnership (e.g. a Project Close-Out).
- **Team Interventions:** This may take the form of a meeting or training that is customized to address the current challenges of the Partnership.
- **PEP Review:** Measure and evaluate the Partnership according to agreed upon criteria for a healthy Partnership and to assess progress toward the goals of the Partnership.

Pre-Implementation:

- ☐ Have we assessed the need and fit of partnering to our culture?
- ☐ Who will take the lead in championing and managing the partnering program?
- ☐ Have we researched (benchmarked) the requirements, and included our customers' perspective?
- ☐ Is there agreement from senior leaders and from representatives of the partnership groups about formally implementing partnering in the organization, division, department or work unit?
- ☐ Have we identified funding requirements and other required resources?
- ☐ Have we involved those who are interested and invested in the outcome?
- ☐ Have we clarified the purpose for implementing partnering?
- ☐ Have we identified the measurements of success for partnering?
- ☐ Have we developed a formal implementation plan, which includes the following: funding, program management, measurement, education, partnering/facilitator services, feedback and involvement from all partners, recognition of successes, and ongoing process improvement?
- ☐ Is there agreement, regarding the implementation plan, from those needed to make the implementation a success?

Early Implementation:

- ☐ Is education about partnering & the skills required a priority and available to all interested partners?
- ☐ Are the partnering services advertised and aimed at early successes?
- ☐ Are the funding sources & other resources identified and available?
- ☐ Are we developing the competencies required to deliver the key components of an integrated partnering system (education, workshop, events, meetings, facilitators, focus groups, etc.)?
- ☐ Are we delivering the key components of an integrated partnering system (education, workshop, events, meetings, facilitators, focus groups, etc.)?
- ☐ Are we developing and monitoring our partnering processes and policies?
- ☐ Are we collecting and beginning to respond to feedback?
- ☐ Are we tracking our measurements for success, and acting on the feedback received through the measurements?

Full Implementation:

- ☐ Is funding shared among partnership leaders?
- ☐ As the program expands, has funding increased?
- ☐ Has partnering expanded to all parts of the organization, division, department or work unit?
- ☐ Do the partners demonstrate partnering behaviors & principles in their everyday work practices?
- ☐ Are we producing measurement reports and identifying trends/themes?
- ☐ Are we consistently collecting feedback (via surveys, opinion cards, meetings, standard measurements, discussion, etc.) and responding to feedback?
- ☐ Are we improving processes, according to measurement results and feedback?

Ongoing & Expanded Implementation:

- ☐ Are processes and measurements reviewed annually and changed accordingly?
- ☐ Have we identified expanded partnering opportunities (i.e. vendors, other departments in our organization, other organizations, etc.)
- ☐ Have we developed a formal plan for the expansion, which includes the following: funding, measurement, education, appropriate partnering services, feedback and involvement from all partners, recognition of successes, and ongoing process improvement?
- ☐ Are we delivering the partnering services according to the expansion plan?
- ☐ Are we developing competencies in the expanded groups?
- ☐ Are we celebrating and tracking our successes?

- **Adversarial** – Having a hostile, opposing attitude
- **Brainstorming** – Generating ideas and perspectives from all participants without judgment
- **Charter** – A collection of the common mission, goals, guidelines and key agreements of the Partnership team members
- **Commitment** – A pledge to some particular course of action
- **Communication** – The exchange of information and opinions
- **Compromise** – A settlement of differences reached by mutual concessions
- **Conflict Resolution** – Mechanism for solving problems
- **Consensus** – Decision/agreement that best reflects the thinking of all group members; a proposal acceptable enough that all members can support
- **Cooperation** – Act jointly with others, keeping all interests in mind
- **Equity** – All stakeholders' interests are considered in creating mutual goals
- **Escalation** – Pushed to the next level for resolution
- **Ethical** – Abiding by an agreed upon group of principles concerning “right” or “wrong” that governs the relations of people with each other
- **Evaluation** – Process by which all stakeholders ensure that the plan is proceeding as intended and that all stakeholders are carrying their share of the load
- **Facilitated Problem Solving** – Facilitated Problem Solving is a process that utilizes a 3rd party to facilitate a resolution to a dispute. The 3rd party is not bound by law to maintain confidentiality, but may be required to do so by terms of a contracting agreement with the parties. The events and proceedings are not necessarily protected from legal discovery
- **Fair-Fair** – All parties find the outcomes achieved to be just and satisfactory
- **Honor** – The ability to admit one's mistakes and take responsibility
- **Implementation** – Carrying out agreed upon strategies; putting them into practice
- **Integrity** – Adherence to a code of values that include sincerity and honesty
- **Mediation** – Mediation is a confidential process that utilizes a neutral 3rd party to assist disputants in collaborative problem solving. Typically, the 3rd party facilitator is bound by law to complete non-disclosure of the events and proceedings of the mediation process, and they are protected from legal discovery.
- **Mission Statement** – One or two sentences that describe what the team hopes to accomplish over a period of time
- **Mutual Goals/Objectives** – Desired outcomes, specific to the nature of the project, which are identified by all those involved
- **Negotiate** – To confer with another so as to arrive at the settlement of some matter
- **Partnering** – A process of collaborative teamwork to achieve measurable results through agreements and productive working relationships
- **Partnership** – A joint effort that may include a project, program, product or service
- **Partnership Leaders** - Those who lead the Partnering effort to successful completion
- **Partnership Members** - Those who work together to achieve the common goals of the Partnership

- **Project** – Any undertaking requiring a joint effort wherein a scope, schedule, budget, and a desired outcome has been defined
 - **Stakeholders** – Any person, group or entity who has an interest in or is affected by the outcome of the Partnership
 - **Synergy** – Joint action where the whole outcome is greater than the sum of the effect of all the individuals working independently
 - **Teamwork** – The intentional use of good communication skills; the commitment by all members to resolve issues thoroughly, quickly and fairly
 - **Trust** – Having confidence in the truth and good intentions of the person's actions and words
 - **Win-Win** – When all parties achieve their desired outcomes. Win-Win thinking encourages cooperation and compromise to achieve the best possible solution to issues or problems
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For additional information about Partnering please view the ADOT Partnering Website:
www.dot.state.az.us/about/partner